

COMMERCE ALTERNATIVE PERSONNEL SYSTEM – PERFORMANCE MANAGEMENT RECORD
PERFORMANCE APPRAISAL AND POSITION REVIEW

Employee's Name			
Position/Title			
Career Path/Series/Band			
Organization		Rating Period	

RATING OFFICIAL'S CERTIFICATION**I Certify That:**

- ☐ This plan is a complete and accurate statement of the performance elements, objectives, and major activities that will form the basis of the employee's performance appraisal.
- ☐ The performance plan and position description reflect similar objectives, duties, and responsibilities.

Name and Title of Rating Official	Signature	Date
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HIGHER LEVEL SUPERVISOR CONCURRENCE

I agree with the certification of the position description and concur with the performance plan.

Name and Title of Higher Level Supervisor (if appropriate)	Signature	Date
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PAY POOL MANAGER'S APPROVAL

I agree with the certification of the position description and I approve the performance plan.

Name and Title of Pay Pool Manager	Signature	Date
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REVIEWING OFFICIAL'S APPROVAL

This review is appropriate when the pay pool manager is also the rating official.

Name and Title of Reviewing Official	Signature	Date
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EMPLOYEE ACKNOWLEDGMENT

My signature acknowledges discussion of the position description and receipt of the performance plan, but does not necessarily signify agreement with either document.

Employee's Signature	Date
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SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

1 of

Cascaded Organizational Goals

The Department's Strategic Plan identifies key goals. Each of these goals has Strategic Objectives that one or more bureaus/operating units support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau/operating unit goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command.

ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight *(Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.)*

Critical Element: Leadership/Management

Objective:

To lead staff in an environment that maximizes employee potential; manage programs and resources that support strategic goals and objectives; and advance leadership and management initiatives.

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

1. Resources are managed to accomplish the Department's Strategic Goals and objectives. priorities are effectively communicated to staff.
2. Employees are coached to realize their potential (e.g., using individual development plans, meaningful feedback or training programs).
3. Recognition programs (i.e., monetary, non-monetary, or honor awards) are used to acknowledge genuinely exceptional and outstanding employee performance and contributions to mission.
4. Employment actions follow Merit System Principles and Equal Employment Opportunity; are free from Prohibited Personnel Practices; and apply strategies that hire, develop, and retain qualified employees.
5. Employee engagement is fostered through creation of an environment that promotes staff integration, collaboration, open and ongoing dialogue, and utilizes the employee perspective to improve workplace satisfaction.

Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

Level 3 (*Mandatory*): The supervisor consistently demonstrates the following behaviors and results:

1. Critical and administrative functions are completed in a timely and accurate manner; as managed effectively and with clear direction and sound judgment.
2. Career enhancement opportunities are provided in a timely manner to employees. Identify staff for leadership and/or development opportunities.
3. Employees' performance plans are issued timely, and meet requirements as stated by policy, including organizational alignment, results-oriented goals and measurable standards for each critical element.
4. Meaningful performance discussions are held with all direct reports, to include at least three quarterly progress reviews (to include the mid-year review) and an end-of-year appraisal, which is accurately documented on the employees' performance plan.
5. Professionalism, courtesy, and respect are demonstrated in interactions with others. Employee grievances and allegations of discrimination receive a timely response. Where possible, matters are resolved at the lowest organizational level.
6. Recruitment activities are in line with organizational goals, budget considerations, staffing needs, and established timeframes.
7. Employee engagement initiatives and action plans are aligned with _____ organizational goals and monitored through organizational health surveys (e.g., FEVS, Pulse Survey, etc.) to improve workplace satisfaction.

Level 5 (*Mandatory*): The supervisor consistently demonstrates the following behaviors and results:

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

2 of

Cascaded Organizational Goals

The Department's Strategic Plan identifies key goals. Each of these goals has Strategic Objectives that one or more bureaus/operating units support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau/operating unit goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command.

ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight *(Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.)*

Critical Element: Holding Employees Accountable

Objective:

To establish and enforce accountability measures to ensure subordinates consistently deliver efficient and high-quality work.

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

1. Ensures subordinate's commitment to efficient work execution.
2. Models self-accountability and holds subordinates accountable for high-quality results.
3. Recognizes, supports, and rewards excellent work from employees supervised.
4. Timely and efficiently addresses poor and mediocre performance of employees supervised—including seeking appropriate action up to removal from the Federal service.
5. Takes appropriate action when employees report concerns of illegal conduct or waste, fraud, or abuse.

Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

Level 3 (*Mandatory*): The supervisor consistently demonstrates the following behaviors and results:

1. Ensures that subordinates are committed to executing work efficiently and effectively, modeling self-accountability in all tasks.
2. Holds subordinates accountable for delivering high-quality results, setting clear expectations and standards.
3. Actively recognizes, supports, and rewards excellent work of employees, fostering a culture of achievement and motivation.
4. Addresses poor and mediocre performance in a timely and efficient manner, implementing corrective actions as necessary, including considering removal from Federal service if appropriate.
5. Consistently takes appropriate action when employees report concerns of illegal conduct or waste, fraud, or abuse.

Level 5 (*Mandatory*): The supervisor consistently demonstrates the following behaviors and results:

1. Consistently demonstrates and instills a strong commitment to efficient work execution among subordinates, leading by example and optimizing processes to enhance productivity.
2. Achieves exceptional results through subordinates by setting clear, ambitious goals and providing the necessary resources and guidance to exceed expectations consistently.
3. Proactively identifies and celebrates outstanding contributions from employees, implementing innovative recognition programs that significantly boost morale and motivation.
4. Effectively manages performance issues with a strategic approach, resulting in noticeable improvements in employee performance and engagement.
5. Demonstrates skillful handling of complex and sensitive employee situations, including successful resolution of performance-related challenges using the full range of administrative actions.
6. Fosters a transparent and supportive environment where employees feel safe to report concerns of illegal conduct or waste, fraud, or abuse.

NOTE: Outstanding performance in this element reflects a supervisor who not only meets the basic requirements but exceeds them by creating a high-performing team that consistently delivers exceptional results, while maintaining a positive and compliant workplace culture.

SECTION 1 - PERFORMANCE PLAN		
Employee's Name	Rating Period	Element No. <div>3 of </div>
Cascaded Organizational Goals		
The Department's Strategic Plan identifies key goals. Each of these goals has Strategic Objectives that one or more bureaus/operating units support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau/operating unit goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command.		
ITEM 1. Strategic Goal(s):		
Strategic Objective(s):		
<input type="checkbox"/> Bureau/Operating Unit Goal: SES Organizational Goal/SES Performance Requirement (as applicable):		
ITEM 2. Performance Element, Objective and Weight <i>(Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.)</i>		
Critical Element: Customer Service		
Objective: To deliver high levels of service to internal and external customers, while measuring the effectiveness of partnerships and collaborative efforts towards the achievement of the organization's mission and goals.		
ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)		
<div>1. Customer inquiries for information or services are acknowledged and answered within a timely manner and in compliance with standards.</div> <div>2. Customer questions, ideas, and concerns are sought and actively listened to for improved customer service.</div> <div>3. Customer feedback is analyzed; needs and concerns are considered in making decisions, recommending solutions and resolving conflicts.</div> <div>4. Customer expectations are communicated and managed to ensure that customers understand the type and level of service available, inquiries are routed based on level of complexity, and customers are apprised of the status of inquiry when to expect resolution.</div> <div>5. Customer service is provided in collaboration, consultation, and partnership with colleagues and internal and external customers in the Department. Professional relationships and interactions with key stakeholders are maintained to advance interests.</div>		
Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.		Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

Level 3 (*Mandatory*): The employee consistently demonstrates the following behaviors and results:

1. Responds to customer request with factually accurate information consistent with _____ and departmental guidance and policies, as well as program or technical documents, and actively participates toward achieving the goals and objectives of the organization.
2. Work products and responses consistently address customer issues and concerns, and establish a mutual understanding and expectations aligned with existing standards of customer service.
3. Responds to email and telephone inquiries within 1 business day, or within 2 business days if information is not readily available, and written requests for information are answered within 1 week from date of receipt, or within other timeframes specified by supervisor or program requirements.
4. Written and verbal work products and responses to customer requests are clear and courteous, address customer issues and concerns. Establishes a mutual understanding of expectations that align with existing standards of customer service, and solutions are delivered in mutually agreed upon timeframes with the customer.
5. If on approved absence, a voicemail message is provided, and an automated notification email is sent in response to incoming messages that indicates period of absence and identifies an alternate contact.
6. Fosters an environment that promotes result-driven customer service, communication, accountability, and integrity in shared information, and contributes to build and leverage collaboration among peers, customers, and stakeholders.

Level 5 (*Mandatory*): The employee consistently demonstrates the following behaviors and results:

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

_____ of _____

Cascaded Organizational Goals

The Department's Strategic Plan identifies key goals. Each of these goals has Strategic Objectives that one or more bureaus/operating units support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau/operating unit goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command.

ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight (*Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.*)

Critical Element:

Objective

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

_____ of _____

Cascaded Organizational Goals

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ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight (*Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.*)

Critical Element:

Objective

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

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Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

_____ of _____

Cascaded Organizational Goals

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ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight (*Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.*)

Critical Element:

Objective

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

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Element Weight

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SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

_____ of _____

Cascaded Organizational Goals

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ITEM 1. Strategic Goal(s):

Strategic Objective(s):



Bureau/Operating Unit Goal:

SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight (*Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.*)

Critical Element:

Objective

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

Element Weight

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

SECTION 2 - PROGRESS REVIEW				
Employee's Name			Rating Period	
	Employee's Initials	Date	Rating Official's Initials	Date
1st Quarter Progress Review				
ITEM 5. Mid-Cycle/Progress Review <i>(Check appropriate box)</i> <div style="margin-top: 10px;"> <input type="checkbox"/> 1. Review indicates performance is Eligible. <input type="checkbox"/> 2. Review indicates performance is Eligible; however, there are performance deficiencies, as stated below. <input type="checkbox"/> 3. Review indicates performance is deficient and a performance improvement plan is needed. Deficiencies are stated below. <i>(If this block is checked, supervisor must contact the servicing HR office.)</i> </div>				
Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well and identify the strengths exhibited by the employee during the rating period.				
Deficiencies, Areas of Concern: <i>(Must be filled in if box 2 or box 3 above is checked):</i> Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.				
Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.				
	Employee's Initials	Date	Rating Official's Initials	Date
Mid-Cycle Progress Review				
3rd Quarter Progress Review				

SECTION 3 - PERFORMANCE APPRAISAL

Employee's Name

Rating Period

ITEM 6. Rating Official's End-of-Year Appraisal *(Includes consideration of attached employee accomplishments)*

1. Review indicates performance is **Eligible**.
2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. *(If this block is checked, supervisor must contact the servicing HR office.)*
4. Review indicates that a PIP has not been successfully completed and performance is rated **Unsatisfactory**.

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well, and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: *(Must be filled in if box 2 or box 3 above is checked):* Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

SECTION 3 - PERFORMANCE SUMMARY RATING

Employee's Name

Rating Period

Organization

ITEM 1. Scoring

1. List each performance element and its weight.
2. Assign a score to each element. Enter "Unsatisfactory" if element performance does not warrant a score.
3. Complete total score by summing element scores. Total score can range from 40 to 100. If one or more elements are rated "Unsatisfactory," there is no total score and the overall rating is "Unsatisfactory."

	Performance Element	Weight	Score
1.			
2.			
3.			
4.			
5.			
6.			
7.			
		TOTAL SCORE	

ITEM 2. Rating and Payouts

☐

Eligible (All elements scored in the Eligible range)

☐

Unsatisfactory (At least one element rated Unsatisfactory)

☐

RIF Service Credit

☐

10 Years

☐

5 Years

Performance Pay Increase Percentage _____ Dollar Amount _____ Bonus Amount _____

Name and Title of Rating Official

Signature

Date

Name and Title of Higher Level Supervisor (If Appropriate)

Signature

Date

Name and Title of Pay Pool Manager

Signature

Date

Name and Title of Reviewing Official

Signature

Date

Employee's Signature (Signifies performance review meeting held)

Employee provided accomplishments?

☐ YES☐ NO

Date

Employee's Signature (Signifies evaluation feedback meeting held)

Employee comments attached?

☐ YES☐ NO

Date

ELEMENT POINT RANGES AND BENCHMARK PERFORMANCE STANDARDS TABLE

This sheet must be used in conjunction with the performance plan. The Benchmark Performance Standards are used to evaluate and score against the elements, objectives, and activities listed in the plan.

ELEMENT POINT RANGES												BENCHMARK PERFORMANCE STANDARDS
60	55	50	45	40	35	30	25	20	15	10	5	Element objectives were achieved with maximum impact through exemplary work that demonstrated exceptional originality, versatility, and creativity. Activities and related tasks were carried out with the utmost effectiveness and reliability, rarely needing room for improvement. Products were of the highest quality. Problems were solved with dedicated perseverance, penetrating insight, meticulous attention to detail, and unprecedented success. Potential sources of conflict were anticipated and avoided through creative alternatives. Cooperation and responsiveness were actively promoted wherever possible. Written and oral communication related to the performance of element activities maximized desired results, forged new cooperative relationships, and increased organizational prestige.
59	54	49	44	39								
58	53	48	43		34	29	24					
57	52	47	42	38	33	28	23	19				
56	51	46							14			
55	50		41	37	32	27						
54		45		36				18		9		
53	49					26			13			
52	48	44	40		31		22	17				
51	47	43	39	35	30	25	21					
50	46	42	38	34	29							
49	45	41	37	33								
48	44	40	36	32	28	24	20	16	12	8	4	
												Element objectives were accomplished effectively and efficiently, with consistently good quality and quantity of work. Activities and related tasks were carried out in an efficient, orderly sequence that led to timely, correct, thorough and cost-effective results. Products were above-average in quality and reliability. Accepted procedures were carried out proficiently and constructively, and problems were dealt with skillfully and productively. Written and oral communication related to the performance of element activities were clear and convincing.
47	43	39	35	31	27							
46	42						19	15				
45	41	38	34		26	23						
44	40	37	33	30		22			11			
43	39	36	32	29	25		18					
42	35		28		21		14		7			
41	38						17					
40	37	34	31	27	24	20			10			
39	36	33	30	26	23	19		13				
38	35	32	29		22		16					
37	34	31	28	25								
36	33	30	27	24	21	18	15	12	9	6	3	
												Element objectives, activities and related tasks were completed with adequate quality and quantity of work. Products were generally reliable and were delivered without unacceptable delays. Procedures were minimally correct and problems were dealt with satisfactorily. Work methods demonstrated a reasonable degree of cooperation with others. Written and oral communication related to the performance of element activities were generally understandable.
35	32	29	26									
34	31	28	25	23	20	17	14					
33	30	27			19			11				
32	29	26	24	22		16			8			
31	28		23	21	18		13					
30		25		20		15		10		5		
29	27	24	22		17							
28	26	23	21	19		14	12		7			
27	25				16		11	9				
26	24	22	20	18	15	13						
25	23	21	19	17								
24	22	20	18	16	14	12	10	8	6	4	2	

UNSATISFACTORY: Work not successfully completed; Failed to follow directions, guidance and procedures; Insufficient technical knowledge/skill; Work did not meet minimum specifications; Routine problems were not resolved satisfactorily; Written and oral communication poor and not understandable; Exhibited uncooperative/unresponsive behavior; Negative impact to organization; Work unacceptably late; Poor leadership skills; Provided no positive direction to staff; Unable to organize and prioritize work and/or wasted time; Ineffective in working with others.

	ELEMENT #1	ELEMENT #2	ELEMENT #3	ELEMENT #4	ELEMENT #5	ELEMENT #6	ELEMENT #7	TOTAL
WEIGHT								= 100
SCORE								

INSTRUCTIONS

RESPONSIBLE OFFICIAL: The Rating Official is responsible for all steps except C-6, which is the responsibility of the Pay Pool Manager.

A. PERFORMANCE PLANNING (Section 1, Items 1-4):
Develop the performance plan in collaboration with the employee.

1. **Strategic Goals:** Include the Strategic Goal that each Performance Element will cascade from (Item 1).
2. **Strategic Objective(s):** List the appropriate Strategic Objective(s) relating to the Strategic Goal selected.
3. **Bureau/Operating Unit Goal:** List the bureau/operating unit goal/strategy/initiative supporting the Department's Strategic Goal/Strategic Objective(s).
4. **SES Organizational Goal/SES Performance Requirement:** As applicable, list SES performance plan goals relating to bureau/operating unit program goals/strategies/initiatives.
5. **Performance Element:** Establish the performance elements of the position (Item 2). Fill out a separate Section 1 for each performance element.
6. **Objective:** State the objective(s) of each element.
7. **Element Weight:** Assign a weight to each element in terms of importance or time required, or both. The weight selected must be on the Element Point Ranges. The total weight of all elements must equal 100 points.
8. **Major Activities/Required Results:** List the major activities or required results related to each element (Item 3).
9. **Evaluation Criteria:** Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used. Supplemental standards may be developed, as needed, in accordance with the CAPS Operating Procedures Manual. (Item 4).
10. **Cover Sheet:** Fill out and sign the cover sheet; obtain the signatures of higher level supervisor, (if appropriate) the Pay Pool Manager, Reviewing Official*, and employee in this order.

B. PROGRESS REVIEW (Section 2, Item 5): Conduct quarterly progress reviews with the employee. Additional progress reviews may be conducted at the request of the employee or when the Rating Official determines reviews are necessary.

1. **Discussion:** For each element, discuss with the employee and record: (a) progress toward meeting the element; (b) any need for changes in the plan; and (c) any performance deficiencies and recommendations for improvement.
2. **Recording:** Check one of the blocks indicating the level of performance.
3. **Initialing:** Rating Officials and employees must Initial and date attesting that the progress review took place. If changing the plan, the Rating Official, Pay Pool Manager, Reviewing Official (If appropriate)*, and the employee must initial and date the change.

C. PERFORMANCE APPRAISAL (Section 3, Item 6): Appraise the employee's performance in accordance with the performance elements, their objectives, activities, weighted values, the Benchmark Performance Standards, and any supplemental standards.

1. **Notification:** Notify the employee of (a) the requirement to submit a list of accomplishments; and (b) the date and time of the Performance Review meeting.
2. **Performance Review Meeting:** Meet with the employee to discuss accomplishments. **Recommended score, rating, performance pay increase or bonus ARE NOT discussed at this meeting.** Obtain the employee's signature and date on the Performance Summary Rating Sheet **PRIOR to recording performance element scores and rating and payout information** (Item 2).
3. **Rating Official's End-of-Year Appraisal:** In Item 6, describe the employee's overall performance in meeting the elements, taking into consideration accomplishments submitted by the employee as well as accomplishments recognized by the Rating Official.
4. **Scoring:** Use the *Element Point Ranges and Benchmark Performance Standards Table* to calculate a tentative total score: (a) Read carefully each *Benchmark Performance Standards* description (and supplemental standards, if any) to determine which *Benchmark Performance Standards* best describes the employee's performance of the element; (b) from the column of scores headed by the weight of the element, select a score for the element that corresponds to the level of performance (e.g., if the weight of the element is 40 points and the performance of the element meets the first *Benchmark Performance Standards* description, assign 40 points; if the performance meets the second *Benchmark Performance Standards* description, assign 28 points; if it meets the third *Benchmark Performance Standards* description, assign 16 points; if it falls between two *Benchmark Performance Standards* descriptions, assign an appropriate score); (c) sum the individual element scores to produce the total performance score.
5. **Recommendations:** Submit tentative overall scores and recommendations for pay increases and bonuses (through higher-level supervisor) to the Pay Pool Manager for approval.
6. **Pay Pool Manager:** Carry out the following steps using the automated performance payout system: (a) record final ratings/scores; (b) make pay increase decisions; (c) make bonus decisions; (d) record decisions on Form CD-541; (e) sign and date the Summary Rating Sheet; (f) forward to Reviewing Official*; (g) return forms to Rating Official.
7. **Rating Official:** Sign and date the Summary Rating Sheet.
8. **Evaluation Feedback Meeting:** Rating Official meets with the employee to discuss the final decisions: rating, any performance pay increase, and bonus. Obtains the employee's signature, date, and provides the employee a copy of the completed appraisal.

* If the Pay Pool Manager is also the Rating Official for a position in the pay pool, the Reviewing Official (next higher level in management chain) must review and sign the performance plan and appraisal before feedback to the employee.